

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENTAPPLICANT  
De Jong *et al.*FILING DATE  
03/22/01GROUP  
1653

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	CLASS	FILING DATE
DS	AA	4	8	9	7	3	5	5	01/30/90	Eppstein <i>et al.</i>	435	240.2	10/29/87
	AB	4	9	3	7	1	9	0	06/26/90	Palmenberg <i>et al.</i>	435	69.1	10/15/87
	AC	5	2	0	8	0	6	6	05/04/93	Fujisaki <i>et al.</i>	427	96	04/30/92
	AD	5	2	8	8	6	2	5	02/22/94	Hadiaczky	435	172.2	09/13/91
	AE	5	3	1	8	5	1	5	06/07/94	Wilk	604	30	08/17/92
	AF	5	3	3	4	7	6	1	08/02/94	Gebeyehu <i>et al.</i>	564	197	08/28/92
	AG	5	3	8	9	0	6	9	02/14/95	Weaver	604	21	09/17/93
	AH	5	5	0	1	6	6	2	03/26/96	Hofmann	604	20	09/12/94
	AI	5	5	0	7	7	2	4	04/16/96	Hofmann <i>et al.</i>	604	53	01/21/94
	AJ	5	5	5	0	2	8	9	08/27/96	Eppstein <i>et al.</i>	564	293	04/03/95
	AK	5	6	7	6	1	5	1	10/14/97	Yock	128	662.06	12/03/93
	AL	5	6	9	5	9	6	7	12/09/97	Van Bokkelen <i>et al.</i>	435	91.1	06/07/95
	AM	5	7	1	2	1	3	4	01/27/98	Hadiaczky	435	172.2	01/19/95
	AN	5	7	2	1	1	1	8	02/24/98	Scheffler	435	69.1	10/29/96
	AO	5	7	3	6	3	9	2	04/07/98	Hawley-Nelson <i>et al.</i>	435	320.1	06/04/96
	AP	5	8	4	3	8	8	4	12/01/98	Sims	514	2	11/15/95
	AQ	5	8	5	3	6	9	4	12/29/98	Engberts <i>et al.</i>	424	1.21	07/24/96
	AR	5	8	6	9	2	9	4	02/09/99	Harrington <i>et al.</i>	435	91.1	09/20/96
	AS	5	8	9	1	6	9	1	04/06/99	Hadiaczky	435	172.3	10/21/96
	AT	5	9	4	4	7	1	0	08/31/99	Dev <i>et al.</i>	604	500	06/24/96
	AU	5	9	6	2	2	6	5	10/05/99	Norris <i>et al.</i>	435	69.1	12/15/98
	AV	5	9	6	5	3	9	6	10/12/99	Pan <i>et al.</i>	435	69.1	01/13/98
	AW	5	9	7	6	7	9	6	11/02/99	Szalay <i>et al.</i>	435	6	12/23/96

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EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB CLASS	FILING DATE
BS	AX	5	9	7	6	8	4	9	11/02/99	Husted <i>et al.</i>	435	183	04/30/98
	AY	5	9	8	5	5	7	7	11/16/99	Bulinski	435	6	10/14/98
	AZ	5	9	9	3	4	3	4	11/30/99	Dev <i>et al.</i>	604	501	09/29/95
	BA	6	0	2	5	1	5	5	02/15/00	Hadlaczký <i>et al.</i>	435	69.1	08/07/96
	BB	6	0	2	7	4	8	8	02/22/00	Hofmann <i>et al.</i>	604	522	06/03/98
	BC	6	0	3	4	2	2	8	03/07/00	Norris <i>et al.</i>	536	23.1	06/25/99
	BD	6	0	3	7	1	3	3	03/14/00	Li	435	7.21	04/17/98
	BE	6	0	5	4	3	1	2	04/25/00	Larocca <i>et al.</i>	435	320.1	08/29/97
	BF	6	0	7	7	6	9	7	06/20/00	Hadlaczký <i>et al.</i>	435	172.3	07/15/96

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB CLASS	Translation Yes No	
BS	BG	0	7	5	5	9	2	4	01/29/97	EP A1				
	BH	0	7	5	5	9	2	4	06/09/99	EP B1				
	BI	9	7	4	0	1	8	3	10/30/97	PCT				
	BJ	9	8	0	8	9	6	4	03/05/98	PCT				
	BK	9	9	2	1	5	8	4	05/06/99	PCT				

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

BS	BL	1999 Press Releases: "Chromos Molecular Systems Reports <i>In Vitro</i> and <i>In Vivo</i> Stability of Functional Mammalian Artificial Chromosome"; <a href="http://www.chromos.com/march1899.htm1">http://www.chromos.com/march1899.htm1</a>
	BM	1999 Press Releases: "Chromos Molecular Systems Demonstrates Large-Scale Isolation of Mammalian Artificial Chromosomes"; <a href="http://www.chromos.com/feb399.htm1">http://www.chromos.com/feb399.htm1</a>
	BN	2001 Press Releases: "Chromos Announces Publication of Rapid Screening Technique in the Journal Cytometry"; <a href="http://www.chromos.com/June%207.htm1">http://www.chromos.com/June%207.htm1</a>

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Mail date: 09/05/01

FORM PTO-1449 (Modified)	ATTY. DOCKET NO. 24601-416	SERIAL NO. 09/815,979	RECEIVED SEP 07 2001 TECH CENTER 1600/2900
	APPLICANT De Jong <i>et al.</i>		
	FILING DATE 03/22/01	GROUP 1653	

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

OS	BO	2001 Press Releases: "Chromos Presents New Chromosome-Based Platform Technology for Gene Therapy (ASGT)"; <a href="http://www.chromos.com/June%204.htm1">http://www.chromos.com/June%204.htm1</a>
	BP	2001 Press Releases: "Chromos Initiates Research into Plant Artificial Chromosomes"; <a href="http://www.chromos.com/Jan23.htm1">http://www.chromos.com/Jan23.htm1</a>
	BQ	2001 Press Releases: "Chromos Announces Expression of Therapeutic Protein in Transgenic Animal Carrying an Artificial Chromosome"; <a href="http://www.chromos.com/nov8.htm1">http://www.chromos.com/nov8.htm1</a>
	BR	2001 Press Releases: "Chromos and Biological Research Center Announce Publication of Human Artificial Chromosome Methodology in the Journal of Cell Science"; <a href="http://www.chromos.com/sept12.htm1">http://www.chromos.com/sept12.htm1</a>
	BS	2001 Press Releases: "Chromos Reports Data on Transgenic Animals Carrying Artificial Chromosome"; <a href="http://www.chromos.com/march28.htm1">http://www.chromos.com/march28.htm1</a>
	BT	Alton <i>et al.</i> , "Nucleotide sequence analysis of the chloramphenicol resistance transposon Tn9", <i>Nature</i> , <u>282</u> :864-869 (1979)
	BU	Anderson <i>et al.</i> , "Flow Cytometry of Mitotic Cells", <i>Experimental Cell Res.</i> , <u>238</u> :498-502 (1998)
	BV	Audouy <i>et al.</i> , "Serum as a modulator of lipoplex-mediated gene transfection: dependence of amphiphile, cell type and complex stability", <i>J. Gene Med.</i> , <u>2</u> :465-476 (2000)
	BW	Baldwin <i>et al.</i> , "Cloning of the Luciferase Structural Genes from <i>Vibrio harveyi</i> and Expression of Bioluminescence in <i>Escherichia coli</i> ", <i>Biochem.</i> , <u>23</u> :3663-3667 (1984)
	BX	Bao <i>et al.</i> , "Transfection Of A Reporter Plasmid Into Cultured Cells By Sonoporation <i>In Vitro</i> ", <i>Ultrasound in Med. &amp; Biol.</i> , <u>23/6</u> :953-959 (1997)
	BY	Basic Protocol, Book: <u>Current Protocols in Molecular Biology</u> , Supplement 14, "Calcium Phosphate Transfection", Section 1, Unit 9.1.1 - 9.1.9
	BZ	Co <i>et al.</i> , "Generation of transgenic mice and germline transmission of a mammalian artificial chromosome introduced into embryos by pronuclear microinjection", <i>Chromosome Res.</i> , <u>8</u> :183-191 (2000)
	CA	Csonka <i>et al.</i> , "Novel generation of human satellite DNA-based artificial chromosomes in mammalian cells", <i>J. of Cell Sci.</i> , <u>113</u> :3207-3216 (2000)
✓	CB	de Jonge <i>et al.</i> , "Chromosome and DNA-Mediated Gene Transfer in Cultured Mammalian Cells", <i>International Review of Cytology</i> , <u>92</u> :133-158 (1984)

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## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DS	CC	de Jong <i>et al.</i> , Abstract No. 550: "In Vitro Transfer of a 60 Mb Mammalian Artificial Chromosome into Primary Cell Lines Using Cationic Lipids and a Dendrimer", one page
	CD	de Jong <i>et al.</i> , "Mammalian Artificial Chromosome Pilot Production Facility: Large-Scale Isolation of Functional Satellite DNA-Based Artificial Chromosomes", <i>Cytometry</i> , <u>35</u> :129-133 (1999)
	CE	de Wet <i>et al.</i> , "Firefly Luciferase Gene: Structure and Expression in Mammalian Cells", <i>Molecular and Cellular Biol.</i> , <u>7</u> :725-737 (1987)
	CF	Durand <i>et al.</i> , "Response of Cell Subpopulations in Spheroids to Radiation-Drug Combinations", <i>NCI Monogr.</i> , <u>6</u> :95-100 (1988)
	CG	Durand <i>et al.</i> , "Schedule Dependence for Cisplatin and Etoposide Multifraction Treatments of Spheroids", <i>J. Natl. Cancer Inst.</i> , <u>82</u> :1841-1845 (1990)
	CH	Durand <i>et al.</i> , "Sequencing Radiation and Adriamycin Exposures in Spheroids to Maximize Therapeutic Gain", <i>J. J. Radiation Oncol. Biol. Phys.</i> , <u>17</u> :345-350 (1989)
	CI	Engbrecht <i>et al.</i> , "Identification of genes and gene products necessary for bacterial bioluminescence", <i>Proc. Natl. Acad. Sci. USA</i> , <u>81</u> :4154-4158 (1984)
	CJ	Fritz <i>et al.</i> , Abstract: "Ultrasound Enhancement of Gene Expression, Newly Discovered Cationic Lipids, and a New Class of Gene Delivery Agents", ImaRx Pharmaceutical Corp. Announces Important Discoveries in Emerging Field of Drug Delivery Using Acoustically Active Carriers, <i>ImaRx Pharmaceutical Corp.</i> , pages 1-2 (2001)
	CK	Graham <i>et al.</i> , "A New Technique for the Assay of Infectivity of Human Adenovirus 5 DNA", <i>Virology</i> , <u>52</u> :456-467 (1973)
	CL	Gratzner <i>et al.</i> , "An Immunofluorescence Method for Monitoring DNA Synthesis by Flow Cytometry", <i>Cytometry</i> , <u>1</u> :385-389 (1981)
	CM	Haas <i>et al.</i> , "Codon usage limitation in the expression of HIV-1 envelope glycoprotein", <i>Current Biol.</i> , <u>6</u> :315-324 (1996)
	CN	Hall <i>et al.</i> , "Expression and Regulation of <i>Escherichia coli lacZ</i> Gene Fusions in Mammalian Cells", <i>J. Molecular and Applied Genetics</i> , <u>2</u> :101-109 (1983)
	CO	Hoekstra <i>et al.</i> , "Lipid trafficking and sorting: how cholesterol is filling gaps", <i>Current Opinion in Cell Biol.</i> , <u>12</u> :496-502 (2000)
	CP	Hoekstra <i>et al.</i> , "Membrane flow, lipid sorting and cell polarity in HepG2 cells, role of a subapical compartment", <i>Biochem. Soc. Trans.</i> , <u>27</u> :422-428 (1999)

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## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

105	CQ	Hoffman <i>et al.</i> , "Lipochromosome Mediated Gene Transfer: Identification And Probable Specificity Of Localization Of Human chromosomal Material And Stability Of The Transferents", <i>In Vitro</i> , <u>17/8</u> :735-740 (1981)
	CR	Hollo <i>et al.</i> , "Evidence for a megareplicon covering megabases of centromeric chromosome segments", <i>Chromo. Res.</i> , <u>4</u> :240-247 (1996)
	CS	Huang <i>et al.</i> , "Intervening sequences increase efficiency of RNA 3' processing and accumulation of cytoplasmic RNA", <i>Nucleic Acids Res.</i> , <u>18/4</u> :937-947 (1990)
	CT	Huber <i>et al.</i> , "A Comparison Of Shock Wave And Sinusoidal-Focused Ultrasound-Induced Localized Transfection Of HeLa Cells", <i>Ultrasound to Med. &amp; Biol.</i> , <u>25/9</u> :1451-1457 (1999)
	CU	Ishihara <i>et al.</i> , "Effects of phospholipid adsorption on nonthrombogenicity of polymer with phospholipid polar group", <i>J. Biomed. Materials Res.</i> , <u>27</u> :1309-1314 (1993)
	CV	Jackson <i>et al.</i> , "The novel mechanism of initiation of picornavirus RNA translation", <i>TIBS</i> , <u>15</u> :477-483 (1990)
	CW	Jang <i>et al.</i> , "A Segment of the 5' Nontranslated Region of Encephalomyocarditis Virus RNA Directs Internal Entry of Ribosomes during In Vitro Translation", <i>J. Virol.</i> , <u>62/8</u> :2636-2643 (1988)
	CX	Jellinek <i>et al.</i> , "Potent 2'-Amino-2'-deoxypyrimidine RNA Inhibitors of Basic Fibroblast Growth Factor", <i>Biochem.</i> , <u>34</u> :11363-11372 (1995)
	CY	Kereso <i>et al.</i> , "De novo chromosome formations by large-scale amplification of the centromeric region of mouse chromosomes", <i>Chromosome Res.</i> , <u>4</u> :226-239 (1996)
	CZ	Kim <i>et al.</i> , "Ultrasound-Mediated Transfection of Mammalian Cells", <i>Human Gene Therapy</i> , <u>7</u> :1339-1346 (1996)
	DA	Lamb <i>et al.</i> , "Introduction and expression on the 400 kilobase precursor amyloid protein gene in transgenic mice", <i>Nature Genetics</i> , <u>5</u> :22-29 (1993)
	DB	Lin <i>et al.</i> , "Modified RNA sequence pools for <i>in vitro</i> selection", <i>Nucleic Acids Res.</i> , <u>22/24</u> :5229-5234 (1994)
	DC	Maier <i>et al.</i> , "Membrane domains and polarized trafficking of sphingolipids", <i>Cell &amp; Develop. Biol.</i> , <u>12</u> :149-161 (2001)
	DD	Miller <i>et al.</i> , "Sonoporation Of Cultured Cells In The Rotating Tube Exposure System", <i>Ultrasound in Med. &amp; Biol.</i> , <u>25/1</u> :143-149 (1999)

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os	DE	Mukherjee <i>et al.</i> , "Entrapment of metaphase chromosomes into phospholipid vesicles (lipochromosomes): Carrier potential in gene transfer", <i>Proc. Natl. Acad. Sci. USA</i> , <u>75/3</u> :1361-1365 (1978)
	DF	Noguchi <i>et al.</i> , "Measurement of DNA Synthesis by Flow Cytometry", <i>Cytometry</i> , <u>1/6</u> :390-393 (1981)
	DG	Oberle <i>et al.</i> , "Lipoplex Formation under equilibrium Conditions Reveals a Three-Step Mechanism", <i>Biophys. J.</i> , <u>79</u> :1447-1454 (2000)
	DH	Olive <i>et al.</i> , "Increase in the fraction of necrotic, not apoptotic, cells in SiHa xenograft tumours shortly after irradiation", <i>Radiotherapy &amp; Oncology</i> , <u>50</u> :113-119 (1999)
	DI	Olive <i>et al.</i> , "Resistance to DNA Denaturation in Irradiated Chinese Hamster V79 Fibroblasts Is Linked to Cell Shape", <i>Experimental Cell Res.</i> , <u>193</u> :339-345 (1991)
	DJ	Pagratis <i>et al.</i> , "Potent 2'-amino-, and 2'-fluoro-2'-deoxyribonucleotide RNA inhibitors of keratinocyte growth factor", <i>Nature Biotechnol.</i> , <u>15</u> :68-73 (1997)
	DK	Pecheur <i>et al.</i> , "Protein-induced Fusion Can Be Modulated by Target Membrane Lipids through a Structural Switch at the Level of the Fusion Peptide", <i>J. Biol. Chem.</i> , <u>275/6</u> :3936-3942 (2000)
	DL	Perez <i>et al.</i> , "Satellite DNA-based artificial chromosomes - chromosomal vectors", <i>TIBTECH</i> , <u>18</u> :402-403 (2000)
	DM	Pittman <i>et al.</i> , "A simple and rapid immunological technique for visualising chromosome-mediated gene transfer (CMGT)", <i>J. Immunol. Methods</i> , <u>103</u> :87-92 (1987)
	DN	Ropp <i>et al.</i> , "Aequorea Green Fluorescent Protein Analysis by Flow Cytometry", <i>Cytometry</i> , <u>21</u> :309-317 (1995)
	DO	Sambrook <i>et al.</i> , Book: "Molecular Cloning", <i>A Laboratory Manual</i> , Second Ed., Cold Spring Harbor Laboratory Press (1989)
	DP	Shi <i>et al.</i> , "Efficient cationic lipid-mediated delivery of antisense oligonucleotides into eukaryotic cells: down-regulation of the corticotropin-releasing factor receptor", <i>Nucleic Acids Res.</i> , <u>29/10</u> :2079-2087 (2001)
	DQ	Song <i>et al.</i> , "Cell surface expression of MHC molecules in glioma cells infected with herpes simplex virus type-1", <i>J. Neuroimmunol.</i> , <u>93</u> :1-7 (1999)

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

83	DR	Takeuchi <i>et al.</i> , "Enhanced Visualization of Intravascular and Left Atrial Appendage Thrombus with the Use of a Thrombus-Targeting Ultrasonographic Contrast Agent (MRX-408A1): In Vivo Experimental Echocardiographic Studies", <i>J. Am. Soc. Echocardiogr.</i> , 12/12:1015-1021 (1999)
	DS	Telenius <i>et al.</i> , "Stability of a functional murine satellite DNA-based artificial chromosome across mammalian species", <i>Chromosome Res.</i> , 7:3-7 (1999)
	DT	Toh <i>et al.</i> , "Isolation and characterization of a rat liver alkaline phosphatase gene. A single gene with two promoters", <i>FEBS</i> , pages 231-237 (1989)
	DU	Unger <i>et al.</i> , Abstract: "Assessment of Myocardial Infarct with a New Ultrasound Contrast Agent", <i>RSNA</i> , Chicago, IL #1177, page 419 (1997)
	DV	Unger <i>et al.</i> , Abstract: "Ultrasound-Mediated Drug Delivery with Acoustically Active Carriers and SonoPoration <sup>TM</sup> and FluoroGene <sup>TM</sup> Gene Delivery", <i>ImaRx Pharmaceutical Corp.</i> , pages 1-8 (2000)
	DW	Unger <i>et al.</i> , Book: 16th International Congress on Acoustics and 135th Meeting Acoustical Society of America, "Gas-Filled Liposomes as Ultrasound-Contrast Agents for Blood Pool, Thrombus-Specific and Therapeutic Applications", 3:2179-2180 (1998)
	DX	Unger <i>et al.</i> , Book: "Liposomes as myocardial perfusion ultrasound contrast agents", <i>Ultrasound contrast Agents</i> , Chapter 6, pages 57-74 (1997)
	DY	Unger <i>et al.</i> , "Ultrasound Enhances Gene Expression of Liposomal Transfection", <i>Invest. Radiol.</i> , 32:723-727 (1997)
	DZ	Vanderbyl <i>et al.</i> , "A Flow Cytometry Technique for Measuring Chromosome-Mediated Gene Transfer", <i>Cytometry</i> , 44:100-105 (2001)
	EA	van der Woude <i>et al.</i> , "Novel pyridinium surfactants for efficient, nontoxic <i>in vitro</i> gene delivery", <i>Proc. Natl. Acad. Sci. USA</i> , 94:1160-1165 (1997)
	EB	van der Woude <i>et al.</i> , "Parameters influencing the introduction of plasmid DNA into cells by the use of synthetic amphiphiles as a carrier system", <i>BBA Biochimica et Biophysica Acta</i> , 1240:34-40 (1995)
	EC	van Leeuwen <i>et al.</i> , "Transfection of Small Numbers of Human Endothelial Cells by Electroporation and Synthetic Amphiphiles", <i>Eur. J. Vase Endovasc. Surg.</i> , 17:9-14 (1999)
	ED	Wigler <i>et al.</i> , "DNA-mediated transfer of the adenine phosphoribosyltransferase locus into mammalian cells", <i>Proc. Natl. Acad. Sci. USA</i> , 76/3:1373-1376 (1979)

EXAMINER *Shellen*

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DS	EE	Wong et al., "Sequence organization and cytological localization of the minor satellite of mouse", <i>Nucleic Acids Res.</i> , <u>16</u> :11645-11661 (1988)
↓	EF	Wyber et al., "The Use of Sonication of r the Efficient Delivery of Plasmid DNA into Cells", <i>Pharmaceutical Res.</i> , <u>14/6</u> :750-756 (1997)
↓	EG	Yang et al., "Optimized codon usage and chromophore mutations provide enhanced sensitivity with the green fluorescent protein", <i>Nucleic Acids Res.</i> , <u>24/22</u> :4592-4593 (1996)

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DATE CONSIDERED

3/19/03

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Title: METHODS FOR DELIVERING NUCLEIC ACID MOLECULES INTO CELLS AND ASSESSMENT THEREOF

Mail date: 09/05/01